

Applicant or Patentee: M. LECLERC, et al
Serial or Patent No.: _____ Atty. Dkt. No.: _____
Filed or Issued: _____

Patent CONJUGATED POLYCARBAZOLE DERIVATIVES AND PROCESS FOR THE PREPARATION THEREOF

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[(37 CFR 1.9(f) AND 1.27 (d)) - NONPROFIT ORGANIZATION]

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION UNIVERSITE LAVAL

ADDRESS OF ORGANIZATION Cité Universitaire, Quebec, Quebec, Canada, G1K 7P4

TYPE OF ORGANIZATION

☒ (x) UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION

☐ () TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC 501(a) AND 501(c)(3)]

☐ () NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA

(NAME OF STATE _____)

(CITATION OF STATUTE _____)

☐ () WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC 501(a) AND 501 (c)(3)] IF LOCATED IN THE UNITED STATES OF AMERICA

☐ () WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA

(NAME OF STATE _____)

(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9 (e) for purposes of paying reduced fees under section 41(a) or (b) of Title 35, United States Code with regard to the invention entitled CONJUGATED POLYCARBAZOLE DERIVATIVES AND PROCESS FOR THE PREPARATION THEREOF by inventor(s) Mario LECLERC and Jean-François MORIN described in

☐ () the specification filed herewith

☐ () application serial no. _____, filed _____

☐ () patent no. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. [37 CFR 1.27]

NAME _____

ADDRESS _____

☐ () INDIVIDUAL ☐ () SMALL BUSINESS CONCERN ☐ () NONPROFIT ORGANIZATION

NAME _____

ADDRESS _____

☐ () INDIVIDUAL ☐ () SMALL BUSINESS CONCERN ☐ () NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28(b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Louise Filion

TITLE IN ORGANIZATION Vice-Rector, Research

ADDRESS OF PERSON SIGNING LOUISE FILION

SIGNATURE [Signature] Vice-rectrice DATE December 13, 2001
à la recherche

Applicant or Patentee: Mario LECLERC and Jean-François MORIN
Serial or Patent N°.: Not yet assigned Atty. Dkt. N°.: _____
Filed or Issued: Herewith
For: CONJUGATED POLYCARBAZOLE DERIVATIVES AND PROCESS FOR THE PREPARATION THEREOF

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) AND 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled CONJUGATED POLYCARBAZOLE DERIVATIVES AND PROCESS FOR THE PREPARATION THEREOF described in

- (x) the specification filed herewith
() application serial no. _____, filed _____
() patent no. _____, issued _____

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- () no such person, concern, or organization
(X) persons, concerns or organizations listed below*

* NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)


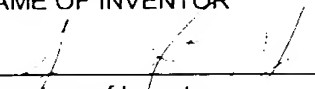
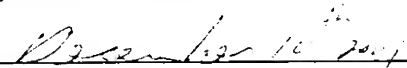
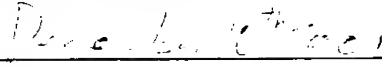
FULL NAME UNIVERSITE LAVAL
ADDRESS Cité Universitaire, Quebec, Quebec, Canada, G1K 7P4
() INDIVIDUAL () SMALL BUSINESS CONCERN (x) NONPROFIT ORGANIZATION

FULL NAME _____
ADDRESS _____
() INDIVIDUAL () SMALL BUSINESS CONCERN () NONPROFIT ORGANIZATION

FULL NAME _____
ADDRESS _____
() INDIVIDUAL () SMALL BUSINESS CONCERN () NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Mario LECLERC,	Jean-François MORIN	
NAME OF INVENTOR	NAME OF INVENTOR	NAME OF INVENTOR
		
Signature of Inventor	Signature of Inventor	Signature of Inventor
		
Date	Date	Date

DECLARATION AND POWER OF ATTORNEY



DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled
CONJUGATED POLYCARBAZOLE DERIVATIVES AND PROCESS FOR THE PREPARATION THEREOF

The specification of which (check one)

☐ is attached hereto.
☒ was filed on October 31, 2001 as A p p l i c a t i o n
Serial No. 10/003,774 and was amended on
_____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty of disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, section 119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

PRIOR FOREIGN APPLICATION(S)

			<u>Priority Claim</u>
<u>2,324,757</u>	<u>CANADA</u>	<u>31/10/200</u>	<u>X</u>
(Number)	(Country)	(Day/Month/Year filed)	Yes No
_____	_____	_____	_____
(Number)	(Country)	(Day/Month/Year filed)	Yes No
_____	_____	_____	_____
(Number)	(Country)	(Day/Month/Year filed)	Yes No

DECLARATION AND POWER OF ATTORNEY

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States Provisional application(s) listed below:

PRIOR PROVISIONAL APPLICATIONS

_____	_____
(application serial number)	(Month / Day / Year filed)
_____	_____
(application serial number)	(Month / Day / Year filed)

I hereby claim the benefit under Title 35, United States Code, section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, section 112. I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, section 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Application Serial No.	Filing Date	Status – patented, pending, abandoned
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

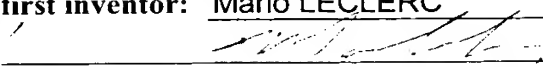
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint David W. Woodward, Reg. No. 35,020, Jeffrey Kushan, Reg. No. 43,401, Thomas T. Moga, Reg. No. 34,881, Richard Wilder, Reg. No. 31,202, David Fitzgerald, Reg. No. 47,347 and Dennis Cawley, Reg. No. 44,598, and each principal, attorney of counsel, associate and employee of Powell, Goldstein, Frazer & Murphy, I.L.P, who is a registered Patent Attorney, as well as Robert Mitchell, Reg. No. 25,007; Guy Houle, Reg. No. 24,971; Robert Carrier, Reg. No. 30,726; James Anglehart, Reg. No. 38,796; Max R. Wood Reg. No. 40,388; Paul Marcoux, Reg. No. 24,990; Kevin P. Murphy, Reg. No. 26,674; Michel J. Sofia; Reg. No. 37,017 and France Côté, Reg. No. 37,037, my attorney with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and

DECLARATION AND POWER OF ATTORNEY

Trademark Office connected therewith. I request the Patent and Trademark Office to direct all correspondence and telephone calls relative to this application to Powell, Goldstein, Frazer & Murphy, LLP, P.O. Box 97233, Washington, D.C. 20090-7223, (202) 347-0066.

Full name of sole or first inventor: Mario LECLERC

Inventor's signature: 

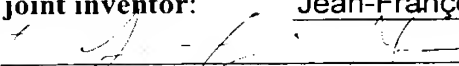
Date: December 10th 2001

Residence: Des Armoiries 1951, Ancienne-Lorette, Quebec, Canada

Citizenship: Canadian

Post Office Address: Des Armoiries 1951, Ancienne-Lorette, Quebec G2E 5V4, Canada

Full name of second joint inventor: Jean-François MORIN

Inventor's signature: 

Date: December 10th 2001

Residence: Jean Durand 2356, app. 3, Sainte-Foy, Quebec, Canada

Citizenship: Canadian

Post Office Address: Jean Durand 2356, app. 3, Sainte-Foy, Quebec G1V 4J7, Canada

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